



IPW

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |                        |                        |
|---|------------------------|------------------------|
| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 10/709,415             |
|   | Filing Date            | May 4, 2004            |
|   | First Named Inventor   | Tran, Brian Thinh-Vinh |
|   | Art Unit               | 2161                   |
|   | Examiner Name          | Safet Metjahic         |
| Total Number of Pages in This Submission  | Attorney Docket Number | SVL920030099US1        |

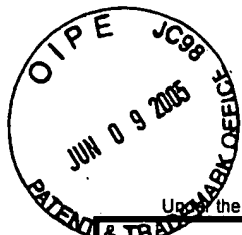
| ENCLOSURES (Check all that apply)   |   |  |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Reply to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance communication to (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Copies of cited refs (10) |
| Remarks   |   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                           |          |       |
|--|---------------------------|----------|-------|
| Firm Name                                  | Lacasse & Associates, LLC |          |       |
| Signature                                  |                           |          |       |
| Printed name                               | Randy W Lacasse           |          |       |
| Date                                       | June 8, 2005              | Reg. No. | 34368 |

| CERTIFICATE OF TRANSMISSION/MAILING   |  |      |  |
|---|--|------|--|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. |  |      |  |
| Signature   |  |      |  |
| Typed or printed name   |  | Date |  |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

In you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08b (08-03)  
Approved for use through 06/30/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

|                        |   |    | Complete if Known |  |
|------------------------|---|----|-------------------|--|
| Application Number     |   |    | 10/709,415        |  |
| Filing Date            |   |    | 5/4/2004          |  |
| First Named Inventor   |   |    | Tran et al.       |  |
| Art Unit               |   |    | 2161              |  |
| Examiner Name          |   |    | Safet Metjahic    |  |
| Attorney Docket Number |   |    | SVL920030099US1   |  |
| Sheet                  | 1 | of | 1                 |  |

### NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|--------------------|----------|---|----------------|
|                    |          | GRUST, "Accelerating XPath Location Steps," <i>ACM SIGMOD 2002</i> , June 4-6, 2002, Madison, Wisconsin, pp. 109-120.   |                |
|                    |          | BREMER et al., "An Efficient XML Node Identification and Indexing Scheme," Technical Report CSE-2003-04, Dept. of Computer Science, University of California at Davis, 2003, 14pgs.   |                |
|                    |          | BRUNO et al., "Holistic Twig Joins: Optimal XML Pattern Matching," <i>ACM SIGMOD 2002</i> , June 4-6, 2002, Madison, Wisconsin, pp. 310-321.  |                |
|                    |          | Li et al., "Indexing and Querying XML Data for Regular Path Expressions," <i>Proceedings of the 27<sup>th</sup> International Conference on Very Large Data Bases</i> , September 11-14, 2001, Rome, Italy, pp. 361-370.  |                |
|                    |          | COHEN et al., "Labeling Dynamic XML Trees," <i>Proceedings of the 21<sup>st</sup> ACM SIGMOD-SIGACT-SIGART Symposium on Principles of Database Systems</i> , June 4-6, 2002, Madison, Wisconsin, pp. 271-281.   |                |
|                    |          | JAGADISH et al., "On Effective Multi-Dimensional Indexing for Strings," <i>ACM SIGMOD 2000</i> , May 14-19, 2000, Dallas, Texas, pp. 403-414.   |                |
|                    |          | "Technique for Performing Generalized Prefix Matches," <i>IBM Technical Disclosure Bulletin</i> , V40, N3, March 1997, pp. 189-200.   |                |
|                    |          | WANG et al., "ViST: A Dynamic Index Method for Querying XML Data by Tree Structures," <i>ACM SIGMOD 2003</i> , June 9-12, 2003, San Diego, California, pp. 110-121.   |                |
|                    |          | GUO et al., "XRANK: Ranked Keyword Search over XML Documents," <i>ACM SIGMOD 2003</i> , June 9-12, 2003, San Diego, California, pp. 16-27.  |                |
|                    |          | GAROFALAKIS et al., "XTRACT: A System for Extracting Document Type Descriptors from XML Documents," <i>ACM SIGMOD 2000</i> , Dallas, Texas, V29, N2, pp. 165-176.   |                |
|                    |          |   |                |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). \*Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.